

66/60/90
JC662 U.S. PTO

**NON-PROVISIONAL
UTILITY PATENT APPLICATION
TRANSMITTAL - 37 CFR 1.53(b)**

☐ Duplicate
(check, if applicable)

66/60/90
JC618 U.S. PTO
09/328628

Assistant Commissioner for Patents
BOX PATENT APPLICATION
Washington, DC 20231

Attorney Docket No. 249-11

Express Mail Label No. EL173706888US
Total Pages of Transmittal Form: 2

Transmitted herewith for filing is the **non-provisional** utility patent application of inventors:

Steven A. Bove, Ralph C. Wileczek and Jeanne Gill

entitled:

SYSTEM AND METHOD FOR AUTOMATING INVESTMENT PLANNING

which is:

an ☒ Original; or

a ☐ Continuation, ☐ Divisional, or ☐ Continuation-in-part (CIP)
of prior Application No. /, filed .

☐ This non-provisional patent application is based on Provisional Patent Application
No. , filed .

Enclosed are:

- ☒ Specification (including Abstract) and claims: 145 pages.
- ☒ Newly executed Declaration (original).
- ☐ Copy of Declaration from prior application.
- ☐ Separate Power of Attorney (including 37 CFR 3.73(b) statement, if applicable).
- ☒ 29 sheets of drawings (informal) plus one copy.
- ☐ Microfiche computer program (Appendix).
- ☐ Nucleotide and/or Amino Acid Sequence Submission, including:
 - ☐ Computer readable copy ☐ Paper Copy ☐ Verified Statement.
- ☐ Under PTO-1595 cover sheet, an assignment of the invention.
- ☐ Certified copy of Application No. , filed , is filed:
 - ☐ herewith or ☐ in prior application .
- ☒ Information Disclosure Statement, PTO-1449, and cited references.
- ☐ Other:

The filing fee has been calculated as shown below:

			SMALL ENTITY			LARGE ENTITY	
CLAIMS	NO. FILED	NO. EXTRA	BASIC FEE: \$380.			BASIC FEE: \$760	
Total	58 -20 =	38	X9	\$	OR	X18	\$ 684
Independent	4 - 3 =	1	X39	\$	OR	X78	\$ 78
Multiple Dependent Claims Present			\$130	\$	OR	\$260	\$
			TOTAL	\$	OR	TOTAL	\$1,522

The Commissioner is hereby authorized to charge payment of the following fees or credit any overpayment to Deposit Account No. 16-0235. One additional copy of this sheet is enclosed.

- ☒ The above calculated filing fee of **\$1,522.00.**
- ☒ Any additional fees required under 37 C.F.R. § 1.16.
- ☒ Any additional fees required under 37 C.F.R. §1.17.
- ☒ If the filing of any paper during the prosecution of this application requires an extension of time in order for the paper to be timely filed, applicant(s) hereby petition(s) for the appropriate extension of time pursuant to 37 C.F.R. §1.136(a).

CORRESPONDENCE ADDRESS:

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